

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Brent Jerome Brunell et al. : Group Art Unit:  
Serial No.: : Examiner:  
Filed: :  
For MODEL-BASED CONTROL SYSTEMS AND :  
METHODS FOR GAS TURBINE ENGINES :

## INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

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Date of Deposit

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Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

2 March 2004

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
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Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 140228		SERIAL NO. Unknown	
<b>INFORMATION DISCLOSURE CITATION</b>  <i>(Use several sheets if necessary)</i>				APPLICANT Brunell, et al.			
				FILING DATE		GROUP ART UNIT Unknown	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A1	2001/0040104A1	11/15/01	Patrick et al.			
	A2	2001/0056315A1	12/27/01	Nagafuchi et al.			
	A3	2001/0047648A1	12/06/01	Griffiths			
	A4	2001/0040105 A1	11/15/01	Patrick et al.			
	A5	2001/0033791A1	10/25/01	Dalton et al.			
	A6	2001/0032109A1	10/18/01	Gonyea et al.			
	A7	2002/0026783A1	03/07/02	Utamura			
<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	A8	EP 0216356 B1	04/1994	EPO			
	A9	EP 0322158B1	10/1995	EPO			
	A10	EP 0324633 B1	6/1993	EPO			
	A11	EP 0330492A2	02/1989	EPO			
<b>OTHER DOCUMENTS</b> <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
* <b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.							

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EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	B1	2002/0016640A1	02/07/02	Gagne			
	B2	2002/0002818A1	01/10/02	Badeer			
	B3	3,691,759	09/19/72	Scheerer			
	B4	3,721,120	03/20/73	Howell et al.			
	B5	3,738,104	06/12/73	Rosa			
	B6	3,844,112	10/29/74	Harrison			
	B7	3,851,157	11/26/74	Ellis			
	B8	3,866,108	02/11/75	Yannone et al.			
	B9	3,891,915	06/24/75	Yannone et al.			
	B10	3,892,975	07/01/75	Yannone et al.			
	B11	3,892,978	07/01/75	Haley			
	B12	3,898,439	08/05/75	Reed et al.			
	B13	3,911,285	10/07/75	Yannone et al.			
	B14	3,913,314	10/21/75	Yannone et al.			
	B15	3,919,623	11/11/75	Reuther			
	B16	3,924,140	12/02/75	Yannone			
	B17	3,924,141	12/02/75	Yannone et al.			
	B18	3,943,371	03/09/76	Yannone et al.			
	B19	3,943,373	03/09/76	Yannone et al.			
	B20	4,019,315	04/26/77	Yannone et al.			
	B21	4,031,407	06/21/77	Reed			
	B22	4,051,669	10/04/77	Yannone et al.			
	B23	4,060,980	12/06/77	Elsaesser et al.			
	B24	4,208,591	06/17/80	Yannone et al.			
	B25	4,215,412	07/29/80	Bernier et al.			
	B26	4,242,042	12/30/80	Schwarz			
	B27	4,242,592	12/30/80	Yannone et al.			
	B28	4,258,545	03/31/81	Slater			

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EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	C1	4,259,835	04/07/81	Reed et al.			
	C2	4,275,557	06/30/81	Marvin et al.			
	C3	4,276,744	07/07/81	Pisano			
	C4	4,305,129	12/08/81	Yannone et al.			
	C5	4,308,463	12/29/81	Giras et al.			
	C6	4,309,871	01/12/82	Venema			
	C7	4,314,441	02/09/82	Yannone et al.			
	C8	4,411,595	10/25/83	Pisano			
	C19	4,423,594	01/03/84	Ellis			
	C10	4,437,303	03/20/84	Cantwell			
	C11	4,442,668	04/17/84	Conn			
	C12	4,446,692	05/08/84	Adkins			
	C13	4,449,358	05/22/84	Mani			
	C14	4,455,614	06/19/84	Martz et al.			
	C15	4,506,504	03/26/85	Nick			
	C16	4,525,998	07/02/85	Schwarz			
	C17	4,528,812	07/16/85	Cantwell			
	C18	4,578,756	03/25/86	Rosenbush et al.			
	C19	4,648,241	03/10/87	Putman et al.			
	C20	4,651,518	03/24/87	McLaughlin et al.			
	C21	4,655,034	04/07/87	Kenison et al.			
	C22	4,809,500	03/07/89	Roberts, Jr.			
	C23	4,842,477	06/27/89	Stowell			
	C24	4,967,550	11/06/90	Acton et al.			
	C25	4,999,991	03/19/91	Haddad et al.			
	C26	5,005,353	04/09/91	Acton et al.			
	C27	5,051,918	09/24/91	Parsons			
	C28	5,067,099	11/19/91	McCown et al.			

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	D1	5,080,496	01/14/92	Keim et al.			
	D2	5,081,830	01/21/92	Schwarz et al.			
	D3	5,082,421	01/21/92	Acton et al.			
	D4	5,083,277	01/21/92	Shutler			
	D5	5,099,436	03/24/92	McCown et al.			
	D6	5,197,280	03/30/93	Carpenter et al.			
	D7	5,285,631	02/15/94	Bechtel, II et al.			
	D9	5,309,379	05/03/94	Rawlings et al.			
	D9	5,343,693	09/06/94	Komatsu et al			
	D10	5,385,012	01/31/95	Rowe			
	D11	5,394,689	03/07/95	D'Onofrio			
	D12	5,410,883	05/02/95	Nigawara et al.			
	D13	5,447,059	09/05/95	Miller et al.			
	D14	5,448,881	09/12/95	Patterson et al.			
	D15	5,537,813	07/23/96	Davis et al.			
	D16	5,551,227	09/03/96	Moulton et al.			
	D17	5,706,207	01/06/98	Kurten et al.			
	D18	5,718,111	02/17/98	Ling et al.			
	D19	6,063,129	05/16/00	Dadd et al.			
	D20	6,155,038	12/05/00	Irwin et al.			
	D21	6,169,927	06/02/01	Schonthal et al.			
	D22	6,226,597	05/01/01	Eastman et al.			
	D23	6,226,974	05/08/01	Andrew et al.			
	D24	6,239,504	05/29/01	Gobrecht et al.			
	D25	6,266,953	07/31/01	Ramstetter et al.			
	D26	6,272,422	08/07/01	Khalid et al.			
	D27	6,282,882	09/04/01	Dudd, Jr. et al.			
	D28	6,286,301	09/11/01	Utamura			
	D29	6,302,682	10/16/01	Early et al.			

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				FILING DATE		GROUP ART UNIT Unknown		
<b>FOREIGN PATENT DOCUMENTS</b>								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	F1	EP 0371225A2	09/1989	EPO				
	F2	EP 0381399B1	01/1990	EPO				
	F3	EP 0418189B1	09/1990	EPO				
	F4	EP 0420599B1	09/1990	EPO				
	F5	EP 0457783B1	06/1994	EPO				
	F6	EP 0509802B1	09/1995	EPO				
	F7	EP 0583771A1	08/1993	EPO				
	F8	EP 0626697A1	05/1994	EPO				
	F9	EP 0628727B1	08/1997	EPO				
	F10	EP 0651145B1	09/1998	EPO				
	F11	EP 0654162B1	06/1999	EPO				
	F12	EP 0654161B1	06/1999	EPO				
	F13	EP 0704023B1	03/1996	EPO				
	F14	EP 0980980A2	08/1999	EPO				
	F15	EP 1063402A2	12/2000	EPO				
	F16	EP 1098140A1	11/2000	EPO				
	F17	EP 1103876A1	05/200 1	EPO				
	F18	EP 1103926A2	05/2001	EPO				
	F19	EP 1114991A2	07/2001	EPO				
	F20	EP 1118857A2	07/2001	EPO				
	F21	WO 0008327A2	02/2000	PCT				
	F22	WO 0017577A1	03/200	PCT				
	F23	WO 0034638A1	06/2000	PCT				
	F24	WO 0034639A1	06/2000	PCT				
	F25	WO 0039442A2	06/2000	PCT				
	F26	WO 0071876A1	11/2000	PCT				
	F27	WO 0120148A2	03/200 1	PCT				
	F28	WO 0159535A1	08/2001	PCT				
	F29	WO 0161168A1	08/2001	PCT				



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